

**If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.**

Substitute for form I449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 12

**Complete if Known**

Application Number	10/693,577
Filing Date	October 23, 2003
First Named Inventor	Lilip Lau
Art Unit	3736
Examiner Name	Samuel G. Gilbert
Attorney Docket Number	PARCR 65971

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
SG		2,826,193		03/11/1958	Vineberg	
		3,464,322		09/02/1969	Pequignot	
		3,513,836		05/26/1970	Sausse	
		3,587,567		06/28/1971	Schiff	
		3,613,672		10/19/1971	Schiff	
		3,966,401		06/29/1976	Hancock et al.	
		3,983,863		10/05/1976	Janke et al.	
		3,988,782		11/02/1976	Dardik et al.	
		4,011,947		03/15/1977	Sawyer	
		4,048,990		09/20/1977	Goetz	
		4,065,816		01/03/1978	Sawyer	
		4,108,161		08/22/1978	Samuels et al.	
		4,192,293		03/11/1980	Asrican	
		4,211,325		07/08/1980	Wright	
		4,261,342		04/14/1981	Aranguren Duo	
		4,306,318		12/22/1981	Mano et al.	
		4,372,293		02/08/1983	Vijil-Rosales	
		4,403,604		09/13/1983	Wilkinson et al.	
		4,428,375		01/31/1984	Ellman	
		4,512,471		04/23/1985	Kaster et al.	
		4,545,783		10/08/1985	Vaughn	
		4,628,937		12/16/1986	Hess et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind <sup>5</sup> (if known)				
SG		PCT	WO 91/19465		12/26/1991	Frater		
		SU	1734767 A1		05/23/1992	Popov et al.		
		EP	0 280 564 B1		06/16/1993	Intermedics, Inc.		
		DE	38 31 540 C2		06/24/1993	Evans		
		PCT	WO 95/06447		03/09/1995	W.L. Gore & Associates		
		PCT	WO 96/04852		02/22/1996	Northrup		
		DE	295 17 393 U1		03/14/1996	Hohmann et al.		
		EP	0 583 012 B1		07/10/1996	Heilman et al.		
		PCT	WO 96/40356		12/19/1996	EP Technologies, Inc.		
		PCT	WO 97/20505		06/12/1997	Loma Linda University		
		JP	60-203250		10/14/1985	Unknown		

Examiner  
Signature

Gilbert

Date  
Considered

8/28/08

60497.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>			
Sheet <b>2</b>		of <b>12</b>		Application Number		10/693,577	
				Filing Date		October 23, 2003	
				First Named Inventor		Lilip Lau	
				Art Unit		3736	
				Examiner Name		Samuel G. Gilbert	
				Attorney Docket Number		PARCR 65971	

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
ls		4,630,597		12/23/1986	Kantrowitz et al.	
		4,665,906		05/19/1987	Jervis	
		4,690,134		09/01/1987	Snyders	
		4,697,703		10/06/1987	Will	
		4,750,619		06/14/1988	Cohen et al.	
		4,821,723		04/18/1989	Baker, Jr. et al.	
		4,827,932		05/09/1989	Ideker et al.	
		4,834,707		05/30/1989	Evans	
		4,838,288		06/13/1989	Wright et al.	
		4,840,626		06/20/1989	Linsky et al.	
		4,863,016		09/05/1989	Fong et al.	
		4,878,890		11/07/1989	Bilweis	
		4,960,424		10/02/1990	Grooters	
		4,973,300		11/27/1990	Wright	
		4,976,730		12/11/1990	Kwan-Gett	
		5,031,762		07/16/1991	Heacox	
		5,057,117		10/15/1991	Atweh	
		5,067,957		11/26/1991	Jervis	
		5,087,243		02/11/1992	Avitall	
	ls		5,098,369		03/24/1992	Heilman et al.

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind <sup>5</sup> (if known)				
ls		SU	1009457A		04/07/1983	Kulik		
		GB	2 115 287 A		09/07/1983	Sharma		
		PCT	WO 97/24101		07/10/1997	Melvin		
		EP	0 791 330 A3		08/27/1997	Cardiothoracic Systems		
		PCT	WO 98/14136		04/09/1998	Acom Medical, Inc.		
		PCT	WO 98/26738		06/25/1998	Hearten Medical, Inc.		
		PCT	WO 98/29041		07/09/1998	Myocor, Inc.		
		PCT	WO 98/58598		12/30/1998	Haindl		
		PCT	WO 99/11201		03/11/1999	Endocore, Inc.		
		EP	0 919 193 A1		06/02/1999	Ethicon Endo-Surgery		
		PCT	WO 99/44534		09/10/1999	Melvin		
	ls		JP	1-271829		10/30/1989	Kogyo	
		EPO	0 370 931 A1		05/30/1990	Perrotin		

Examiner Signature	G. Gilbert	Date Considered	8/28/05
--------------------	------------	-----------------	---------

60497.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		<b>Complete if Known</b>			
		Application Number	10/693,577		
		Filing Date	October 23, 2003		
		First Named Inventor	Lilip Lau		
		Art Unit	3736		
		Examiner Name	Samuel G. Gilbert		
Sheet	3	of	12	Attorney Docket Number	PARCR 65971

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
JS		5,106,386		04/21/1992	Isner et al.	
		5,119,804		06/09/1992	Anstadt	
		5,150,706		09/29/1992	Cox et al.	
		5,169,381		12/08/1992	Snyders	
		5,186,711		02/16/1993	Epstein	
		5,190,546		03/02/1993	Jervis	
		5,192,314		03/09/1993	Daskalakis	
		5,197,978		03/30/1993	Hess	
		5,279,539		01/18/1994	Bohan et al.	
		5,290,217		03/01/1994	Campos	
		5,336,254		08/09/1994	Brennen et al.	
		5,344,442		09/06/1994	Deac	
		5,352,184		10/04/1994	Goldberg et al.	
		5,356,432		10/18/1994	Rutkow et al.	
		5,366,460		11/22/1994	Eberbach	
		5,383,840		01/24/1995	Heilman et al.	
		5,385,156		01/31/1995	Oliva	
		5,385,229		01/31/1995	Bittmann et al.	
		5,385,528		01/31/1995	Wilk	
		5,405,360		04/11/1995	Tovey	
		5,429,584		07/04/1995	Chiu	
JS		5,460,962		10/24/1995	Kemp	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind <sup>5</sup> (if known)				
JS		PCT	WO 99/56655		11/11/1999	Correstore, Inc.		
		PCT	WO 00/13722		03/16/2000	SciMed Life Systems		
		PCT	WO 00/18320		04/06/2000	Univ. of Cincinnati		
		PCT	WO 00/28912		05/25/2000	Acorn Cardiovascular		
		PCT	WO 00/28918		05/25/2000	Acorn Cardiovascular		
		PCT	WO 00/42919		07/25/2000	Buckberg et al.		
		PCT	WO 00/45735		08/10/2000	Acorn Cardiovascular		
		PCT	WO 00/48795		08/24/2000	Richebourg		
		PCT	WO 00/62727		10/26/2000	Hearten Medical		
JS		PCT	WO 00/74769		12/14/2000	Johns Hopkins Univ.		

Examiner Signature	Gilbert	Date Considered	8/28/05
--------------------	---------	-----------------	---------

60497.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Substitute for form 1449A/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		Application Number	10/693,577
		Filing Date	October 23, 2003
		First Named Inventor	Lilip Lau
		Art Unit	3736
		Examiner Name	Samuel G. Gilbert
		Attorney Docket Number	PARCR 65971
Sheet	4	of	12
(use as many sheets as necessary)			

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
<i>SG</i>		5,433,727		07/18/2005	Sideris	
		5,456,711		07/18/1995	Hudson	
		5,500,015		03/19/1996	Deac	
		5,507,779		04/16/1996	Altman	
		5,509,428		04/23/1996	Dunlop	
		5,524,633		06/11/1996	Heaven et al.	
		5,533,958		07/09/1996	Wilk	
		5,534,024		07/09/1996	Rogers et al.	
		5,545,210		08/13/1996	Hess et al.	
		5,571,215		11/05/1996	Sterman et al.	
		5,584,803		12/17/1996	Stevens et al.	
		5,593,424		01/14/1997	Northrup III	
		5,593,441		01/14/1997	Lichtenstein et al.	
		5,597,378		01/28/1997	Jervis	
		5,603,337		02/18/1997	Jarvik	
		5,607,477		03/04/1997	Schindler et al.	
		5,647,372		07/15/1997	Tovey et al.	
		5,647,380		07/15/1997	Campbell et al.	
		5,695,525		12/09/1997	Mulhauser et al.	
		5,727,569		03/17/1998	Benetti et al.	
<i>SG</i>		5,782,746		07/21/1998	Wright	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind <sup>5</sup> (if known)				
SG		PCT	WO 01/17437		03/15/2001	Cardiothoracic Systems		
		PCT	WO 01/21098		03/29/2001	Acom Cardiovascular		
		PCT	WO 01/67985		09/20/2001	Paracor Surgical		
		PCT	WO 01/85061		11/15/2001	Acom Cardiovascular		
		PCT	WO 01/91667		12/06/2001	Cardioclasp, Inc.		
		PCT	WO 01/95830		12/20/2001	Acom Cardiovascular		
		PCT	WO 01/95831		12/20/2001	Acom Cardiovascular		
		PCT	WO 01/95832		12/20/2001	Acom Cardiovascular		
		PCT	WO 02/13726		02/21/2002	Acom Cardiovascular		
SG		PCT	WO 02/19917		03/14/2002	Converge Medical		

Examiner Signature	<i>Gilbert</i>	Date Considered	<i>8/28/2005</i>
--------------------	----------------	-----------------	------------------

60497.1


\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Substitute for form 1449A/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	10/693,577
		Filing Date	October 23, 2003
		First Named Inventor	Lilip Lau
		An Unit	3736
		Examiner Name	Samuel G. Gilbert
		Attorney Docket Number	PARCR 65971
Sheet	5	of	12

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
SA		5,800,334		09/01/1998	Wilk	
		5,814,097		09/29/1998	Sterman et al.	
		5,824,028		10/20/1998	Knisley	
		5,836,311		11/17/1998	Borst et al.	
		5,849,005		12/15/1998	Garrison et al.	
		5,853,422		12/29/1998	Huebsch et al.	
		5,865,791		02/02/1999	Wayne et al.	
		5,904,690		05/18/1999	Middleman et al.	
		5,927,284		07/27/1999	Borst et al.	
		5,948,019		09/07/1999	Shu et al.	
		5,979,456		11/09/1999	Magovern	
		5,984,857		11/16/1999	Buck et al.	
		5,990,378		11/23/1999	Ellis	
		6,007,486		12/28/1999	Hunt et al.	
		6,015,378		01/18/2000	Borst et al.	
		6,071,303		06/06/2000	Laufer	
		6,095,968		08/01/2000	Snyders	
		6,110,100		08/29/2000	Talpade	
		6,117,159		09/12/2000	Huebsch et al.	
		6,117,979		09/12/2000	Hendriks et al.	
		6,155,968		12/05/2000	Wilk	
		6,155,972		12/05/2000	Nauertz et al.	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind <sup>5</sup> (if known)				
		PCT	WO 03/026483		04/03/2003	The Foundry, Inc.		
		PCT	WO 03/026485		04/03/2003	The Foundry, Inc.		
		PCT	WO 03/026484		04/03/2003	The Foundry, Inc.		
		GB	2 209 678 A		05/24/1989	Evans		
		DE	3831 540 A I		04/06/1989	Evans		
		JP	1-145066		06/07/1989	Unknown		

Examiner Signature	Gilbert	Date Considered	8/28/2005
-----------------------	---------	--------------------	-----------

60497.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		<b>Complete if Known</b>	
		Application Number	10/693,577
		Filing Date	October 23, 2003
		First Named Inventor	Lilip Lau
		Art Unit	3736
		Examiner Name	Samuel G. Gilbert
Sheet 6 of 12	Attorney Docket Number	PARCR 65971	

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
SG		6,166,184		12/26/2000	Hendriks et al.	
		6,206,820		03/27/2001	Kazi et al.	
		6,214,047		02/10/2001	Melvin	
		6,287,250		09/11/2001	Peng et al.	
		6,293,906		09/25/2001	Vanden Hoek et al.	
		6,306,141		10/23/2001	Jervis	
		6,360,749		03/26/2002	Jayaraman	
		6,375,608		04/23/2002	Alferness	
		6,390,976		05/21/2002	Spence et al.	
		6,402,679		06/11/2002	Mortier et al.	
		6,402,680		06/11/2002	Mortier et al.	
		6,406,420		06/18/2002	McCarthy et al.	
		6,409,760		06/25/2002	Melvin	
		6,416,459		07/09/2002	Haindl	
		6,425,856		07/30/2002	Shapland et al.	
		6,432,039		08/13/2002	Wardle	
		6,451,025		09/17/2002	Jervis	
		6,482,146		11/19/2002	Alferness et al.	
		6,537,203		03/25/2003	Alferness et al.	
		6,544,168		04/08/2003	Alferness	
		6,547,821		11/11/2003	Taylor et al.	
		6,564,094		05/13/2003	Alferness et al.	
		6,567,699		05/20/2003	Alferness et al.	
		6,569,082		05/27/2003	Chin	
		6,572,533		06/03/2003	Shapland et al.	
		6,575,921		06/10/2003	Vanden Hoek et al.	
		6,582,355		06/24/2003	Alferness et al.	
		6,587,734		07/01/2003	Okuzumi	
		6,595,912		07/22/2003	Lau et al.	
		6,602,184		08/05/2003	Lau et al.	
		6,612,978		09/02/2003	Lau et al.	
SG		6,612,979		09/02/2003	Lau et al.	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind <sup>5</sup> (if known)				

Examiner Signature	Gilbert	Date Considered	8/28/2005
--------------------	---------	-----------------	-----------

60497.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Substitute for form 1449A/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	10/693,577
		Filing Date	October 23, 2003
		First Named Inventor	Lilip Lau
		Art Unit	3736
		Examiner Name	Samuel G. Gilbert
		Attorney Docket Number	PARCR 65971
Sheet	7	of	12

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
SG		6,645,139		11/11/2003	Haindl	
		6,663,558		12/16/2003	Lau et al.	
		6,673,009		01/06/2004	Vanden Hoek et al.	
		6,682,474		01/27/2004	Lau et al.	
		6,682,475		01/27/2004	Cox et al.	
		6,682,476		01/27/2004	Alfermess et al.	
		6,685,620		02/03/2004	Gifford, III et al.	
		6,685,627		02/03/2004	Jayaraman	
		6,689,048		02/10/2004	Vanden Hoek et al.	
		6,695,769		02/24/2004	French et al.	
		6,701,929		03/09/2004	Hussein	
		6,702,732		03/09/2004	Lau et al.	
		6,723,041		04/20/2004	Lau et al.	
		6,755,779		06/29/2004	Vanden Hoek et al.	
		2001/200293134		10/11/2001	Alfermess et al.	
		2001/200047122		11/29/2001	Vanden Hoek et al.	
		2002/200007216		01/17/2002	Melvin	
		2002/200022880		02/21/2002	Melvin	
		2002/200068849		06/06/2002	Schweich, Jr. et al.	
		2002/20007754		06/20/2002	Schweich, Jr. et al.	
		2002/200082647		06/27/2002	Alfermess et al.	
		2002/200091296		07/11/2002	Alfermess	
		2002/200103511		08/01/2002	Alfermess et al.	
		2002/200151950		10/17/2002	Okuzumi	
		2003/200060674		03/27/2003	Gifford, III et al.	
		2003/200060677		03/27/2003	French et al.	
		2003/200060895		03/27/2003	French et al.	
		2003/200199733		10/23/2003	Shapland et al.	
		2003/200199955		10/23/2003	Struble et al.	
		2003/200229265		12/11/2003	Girard et al.	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind <sup>5</sup> (if known)				

Examiner Signature	Gilbert	Date Considered	8/28/2005
-----------------------	---------	--------------------	-----------

60497.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Substitute for form 1449B/PTO		<b>Complete if Known</b>	
		Application Number	10/693,577
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Filing Date	October 23, 2003
		First Named Inventor	Lilip Lau
		Group Art Unit	3736
		Examiner Name	Samuel G. Gilbert
		Attorney Docket Number	PARCR 65971
Sheet	8	of	12

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
Sb		Bencini, Adriano, M.D., <i>The "Pneumomassage" of the Heart</i> , <u>Surgery</u> , Vol. 39, No. 3, March 1956	
		Anstadt, George L., et al., <i>A New Instrument for Prolonged Mechanical Cardiac Massage</i> , <u>Abstracts of the 38<sup>th</sup> Scientific Sessions</u> , Supplement II to <u>Circulation</u> , Vols. 31 and 32, pp. 375-384, October 1965	
		Lev, Maurice, M.D., et al., <i>Single (Primitive) Ventricle</i> , <u>Circulation</u> , Vol. 39, pp. 577-591, May 1969	
		Paling, D.F., <i>Warp Knitting Technology</i> , 1970	
		Edie, Richard N., M.D., et al., <i>Surgical Repair of Single Ventricle</i> , <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 66, No. 3, pp. 350-360, September 1972	
		McGoon, Dwight C., M.D., et al., <i>Correction of the Univentricular Heart Having Two Atrioventricular Valves</i> , <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 74, No. 2, pp. 218-226, August 1977	
		Doty, Donald B., et al., <i>Septation of the Univentricular Heart: Transatrial Approach</i> , <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 78, No. 3, pp. 424-430, September 1979	
		Schetky, L. McDonald, <i>Shap- Memory Alloys</i> , <u>Scientific American</u> , Vol. 241, No. 5, pp. 74-82, November 1979	
	Melton, K.N., et al., <i>Alloys With Two-Shape Memory Effect</i> , <u>Mechanical Engineering</u> , pp. 42-43, March 1980		
Sd		Feldt, Robert H., M.D., et al., <i>Current Status of the Septation Procedure for Univentricular Heart</i> , <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 82, No. 1, pp. 93-97, July 1981	

Gilbert

8/28/2005

60497.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Substitute for form 1449B/PTO		<b>Complete if Known</b>	
		Application Number	10/693,577
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Filing Date	October 23, 2003
		First Named Inventor	Lilip Lau
		Group Art Unit	3736
		Examiner Name	Samuel G. Gilbert
		Attorney Docket Number	PARCR 65971
Sheet	9	of	12

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
<i>SG</i>		Carpentier, A., et al., <i>Myocardial Substitution With Stimulated Skeletal Muscle: First Successful Clinical Case</i> , <u>The Lancet</u> , June 1, 1985	
		Anstadt, George L. et al., <i>Direct Mechanical Ventricular Actuation: A Review</i> , <u>Resuscitation</u> , pp. 7-23, 1991	
		Anstadt, Mark P., M.D., et al., <i>Pulsatile Reperfusion After Cardiac Arrest Improves Neurologic Outcome</i> , <u>American Surgery</u> , Vol. 214, No. 4, pp. 478-490, October 1991	
		Schumacker, Harris B., Jr., <i>Chapter 21: Cardiac Aneurysms</i> , <u>The Evolution of Cardiac Surgery</u> , pp. 159-165, 1992	
		Savage, Edward B., M.D., et al., <i>Repair of Left Ventricular Aneurysm</i> , <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 104, No. 3, pp. 752-762, September 1992	
		Chekanov, Valeri, M.D., Ph.D., <i>Nonstimulated Cardiomyoplasty Wrap Attenuated the Degree of Left Ventricular Enlargement</i> , <u>Annals of Thoracic Surgeons</u> , Vol. 57, pp. 1684-1690, 1997	
		Chaudhry, Pervaiz A., M.D., et al., <i>Acute Ventricular Reduction with Acorn's Cardiac Support Device Prevents Progressive Left Ventricular Dysfunction and Remodeling in Dogs With Advanced Heart Failure</i> , <u>Cardiothoracic Surgery</u> , pp. 146-148, 1996	
		Westaby, Stephen, et al., <i>Landmarks in Cardiac Surgery</i> , pp. 198-199, 1997	
		Cox, James L., <i>Left Ventricular Aneurysms: Pathophysiologic Observations and Standard Resection</i> , <u>Seminars in Thoracic and Cardiovascular Surgery</u> , Vol. 9, No. 2, pp. 113-122, April 1997	
<i>SG</i>		Coletta, C., et al., <i>Prognostic Value of Left Ventricular Volume Response During Dobutamine Stress Echocardiography</i> , <u>European Heart Journal</u> , vol. 18, pp. 1599-1603, October 1997	

60497.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Substitute for form 1449B/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	10/693,577
		Filing Date	October 23, 2003
		First Named Inventor	Lilip Lau
		Group Art Unit	3736
		Examiner Name	Samuel G. Gilbert
		Attorney Docket Number	PARCR 65971
Sheet	10	of	12

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
SG		Capomolla, Soccorso, M.D., et al., <i>Dobutamine and Nitroprusside Infusion in Patients With Severe Congestive Heart Failure: Hemodynamic Improvement by Discordant Effects on Mitral Regurgitation, Left Atrial Function, and Ventricular Function</i> , <u>American Heart Journal</u> , 1089-1098, December 1997	
		Cohn, Jay N., M.D., <i>Preventing Congestive Heart Failure</i> , <u>American Family Physician</u> , 6 pages, April 15, 1998	
		Cohn, Jay N., M.D., <i>Structural Basis for Heart Failure: Ventricular Remodeling and Its Pharmacological Inhibition</i> , <u>Circulation</u> , Vol. 91, No. 10, pp. 2504-2507, May 15, 1995	
		Gaudron, Peter, M.D., et al., <i>Progressive Left Ventricular Dysfunction and Remodeling After Myocardial Infarction</i> , <u>Circulation</u> , vol. 87, pp. 755-763, March 1993	
		Pfeiffer, Marc A., M.D., et al., <i>Ventricular Remodeling After Myocardial Infarction: Experimental Observations and Clinical Implications</i> , <u>Circulation</u> , Vol. 81, No. 4, pp. 1161-1172, April 1990	
		Guasp, Francisco Torrent, <i>Una protesis contentiva para el tratamiento de la microcardiopatía dilatada</i> , <u>Revista Española de Cardiología</u> , Vol. 51, No. 7, July 1998	
		Melvin, David B., <i>Ventricular Radium Reduction Without Resection: A Computational Analysis</i> , <u>ASAIO Journal</u> , pp. 160-165, 1999	
		<b>ABSTRACTS – Heart Failure</b> , JACC February 1999	
	McCarthy, Patrick M., et al., <i>Device Based Left Ventricular Shape Change Immediately Reduces Left Ventricular Volume and Increases Ejection Fraction in a Pacing Induced Cardiomyopathy Model in Dogs</i> , JACC, Feb. 2000		
SG		Acorn Cardiovascular, Inc., <u>CSD Specifications Acorn Cardiac Support Device</u> , 2000	

Gilbert

8/28/2005

60497.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Substitute for form 1449B/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	10/693,577
		Filing Date	October 23, 2003
		First Named Inventor	Lilip Lau
		Group Art Unit	3736
		Examiner Name	Samuel G. Gilbert
		Attorney Docket Number	PARCR 65971
Sheet	11	of	12

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
SA		Heart "jacket" could help stop heart failure progression, <u>Clinicia</u> , No. 916, July 2000	
		Acom Cardiovascular, Inc., <u>CorCap™ Cardiac Support Device</u> Pamphlet, June 2001	
		Medtronic's InSync Cardiac Resynchronization Therapy Device Approved by FDA, (Press Release) August 28, 2001	
		Acom Cardiovascular, Inc., <u>Acorn Highlights: ESC</u> , Schedule, September 2001	
		Oz, Mehmet C., M.D., <u>Passive Ventricular Constraint for the Treatment of Congestive Heart Failure</u> , <u>Annals of Thoracic Surgery</u> , Vol. 71, pp. 5185-5187, 2001	
		Abstract Supplement, <u>European Heart Journal</u> , Vol. 22, September 2001	
LS		Gorman, J., <u>Self-Sutures: New Material Knots Up On Its Own</u> , <u>Science News</u> , Vol. 161, p. 262, April 27, 2002	
		Teckell-Taylor, Leah A., et al., <u>Passive Ventricular Restraint With Nitinol Mesh Attenuates Remodeling Following Acute Myocardial Infarction</u> , Abstract, American College of Cardiology (Undated)	
LS		Mann, Douglas L., M.D., <u>Basic Mechanisms of Remodeling and Reverse Remodeling</u> , presented at 6 <sup>th</sup> Annual Scientific Meeting of the Heart Failure Society of America, September 24, 2002	
LS		Bocchi, Edimar a., M.D., <u>Arrhythmias and Sudden Death After Dynamic Cardiomyoplasty</u> , <u>Circulation</u> , Vol. 90, No. 5, Part 2, pp. II-107 thru II-111, November 1994	

Gilbert

8/28/2005

60497.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Substitute for form 1449B/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	10/693,577
		Filing Date	October 23, 2003
		First Named Inventor	Lilip Lau
		Group Art Unit	3736
		Examiner Name	Samuel G. Gilbert
		Attorney Docket Number	PARCR 65971
Sheet	12	of	12

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
<i>SG</i>		Chachques, Juan C., M.D., <i>Study of Muscular and Ventricular Function in Dynamic Cardiomyoplasty: A Ten-Year Follow-Up</i> , <u>The Journal of Heart and Lung Transplantation</u> , Vol. 16, No. 8, pp. 854-868, August 1997	
		Dullum, Mercedes K.C., M.D., et al., <i>Less Invasive Surgical Management of Heart Failure by Cardiac Support Device Implantation on the Beating Heart</i> , The Heart Surgery Forum, #2001-1818, pp. 361-363, January 4-7, 2001	
		Macris, Michael P. M.D., et al., <i>Minimally Invasive Access of the Normal Pericardium: Initial Clinical Experience with a Novel Device</i> , <u>Clinical Cardiology</u> , Vol. 22 (Suppl. 1), pp. 1-36 thru 1-39, 1999	
		Thakur, Ranjan K., M.D., et al., <i>Latissimus Dorsi Dynamic Cardiomyoplasty: Role of Combined ICD Implantation</i> , <u>Journal of Cardiac Surgery</u> , Vol. 10, pp. 295-297, 1995	
		Application for U.S. Letters Patent Serial No. 10/693,577 filed October 23, 2003; Inventors Lau Hartigan	
		Application for U.S. Letters Patent Serial No. 10/314,696 filed December 9, 2002; Inventors Lau Hartigan	
		Provisional Patent Application Serial No. 60/486,062 filed July 10, 2003; Inventors Lau Hong Fishler Mar	
		Application for U.S. Letters Patent Serial No. 10/698,237 filed October 31, 2003; Inventors Lau Patel	
		Application for U.S. Letters Patent Serial No. 10/704,376 filed November 7, 2003; Inventors Lau Fishler Mar	
		Application for U.S. Letters Patent Serial No. 10/715,150 filed November 17, 2003; Inventors Wallin Lau	
<i>SG</i>		Provisional Patent Application Serial No. 60/535,888 filed January 12, 2004; Inventors Fishler Mar Meyer Patel Lau	

Gilbert

8/28/2005

60497.1

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS, SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.